PATENT

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant:

UGGERUD ET AL.

Examiner:

UNKNOWN

Serial No.:

10/695,922

Group Art Unit:

3629

Filed:

October 28, 2003

Docket No.:

13671.0001-US-C2

Title:

ENERGY COORDINATION SYSTEM

CERTIFICATE UNDER 37 CFR 1.8:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first class mail, with sufficient postage, in an envelope addressed to: Commissioner for Patents P.O. Box 1450, Alexandria, VA 22313 1450 on March 16 2004

Name: John C. Reich

INFORMATION DISCLOSURE STATEMENT (37 C.F.R. § 1.97(b))

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450

Dear Sir:

With regard to the above-identified application, the items of information listed on the enclosed Form 1449 are brought to the attention of the Examiner. At least some of the references were recently cited in an International Search Report received by the Patent Office on December 21, 1999.

This statement should be considered because it is submitted before the mailing date of a first Office Action on-the-merits. Accordingly, no fee is due for consideration of the items listed on the enclosed Form 1449.

In accordance with 37 C.F.R. §1.98(d), a copy of each document or other information listed on the enclosed Form 1449 is not provided because it was previously cited by or submitted to the U.S. Patent and Trademark Office in parent application, U.S. Serial No. 09/086,122 filed on May 28, 1998 and U.S. Serial No. 10/336,280 on January 3, 2003. Enclosed for the Examiner's information is a copy of the International Search Report. Applicant(s) note(s) reference(s) EP 0 614 088, US 5,566,084, US 5,479,358, and US 4,847,781 also listed in the search report was/were previously cited to or by the Examiner.

No representation is made that a reference is "prior art" within the meaning of 35 U.S.C. §§ 102 and 103 and Applicants reserve the right, pursuant to 37 C.F.R. § 1.131 or otherwise, to establish that the reference(s) are not "prior art." Moreover, Applicants do not represent that a reference has been thoroughly reviewed or that any relevance of any portion of a reference is intended.

Consideration of the items listed is respectfully requested. Pursuant to the provisions of M.P.E.P. 609, it is requested that the Examiner return a copy of the attached Form 1449, marked as being considered and initialed by the Examiner, to the undersigned with the next official communication.

Please charge any additional fees or credit any overpayment to Deposit Account No. 13-2725.

Respectfully submitted,

MERCHANT & GOULD P.C.

P. O. Box 2903

Minneapolis, Minnesota 55402-0903

612.332.5300

Date/ (anch /6, 200

23552

PATENT TRADEMARK OFFICE

John C. Reich

Reg. No. 37,703

ACR:nma



INFORMATION DISCLOSURE STATEMENT

IN AN APPLICATION

(Use several sheets if necessary)

| Docket Number: | Application Number: |
|------------------|---------------------|
| 13671.0001-US-C2 | 10/695,922 |

Applicant: UGGERUD ET AL.

Filing Date: October 23, Group Art Unit: 3629 2003

| | | | U | .S. PATENT DOCUMENT | rs | | | |
|---------------------|---|---|------------|-----------------------------|------------------|--------------|-------------|-------------------|
| EXAMINER INITIAL | DOCUMENT | ΓNO. | DATE | NAME | CLASS | SUBCLASS | | G DATE OPRIATE |
| | US-6,061,609 | | 05-2000 | Kanoi et al. | | | | |
| | US-5,974,369 | | 10-1999 | Radtke et al. | | | | |
| | US-6,327,541 | | 12-2001 | Pitchford et al. | | | | |
| | US-6,067,482 | | 05-2000 | Shapiro, Doron | | | | |
| | US-6,029,092 | | 02-2000 | Stein, Michael | | | | |
| | US-5,696,695 | | 12-1997 | Ehlers et al. | | | | |
| | US-5,831,550 | | 11-1998 | Sigiliao Da Costa et al. | | | | |
| | US-5,770,895 | | 06-1998 | Kumasaka, Iwao | | | | |
| | US-5,481,140 | | 01-1996 | Maruyama et al. | | | | |
| | US-5,432,507 | | 07-1995 | Mussino et al. | | | | |
| | Us-4,933,633 | | 06-1990 | Allgood, Marvin D. | | | | |
| | | | FOR | EIGN PATENT DOCUMI | ENTS | | | |
| | DOCUMENT | NO. | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION | |
| | | | | | | | YES | NO |
| | 0 614 088 A1 | | 09/07/1994 | EP | | | | |
| | | | | | | | | |
| | C | THER | DOCUMENTS | (Including Author, Title, D | ate, Pertinent I | Pages, Etc.) | | |
| | Brochure, "Sinaut Aces: Accounting, Contracts and Energy Scheduling", 4 pages, Siemens Energy & Automation, Inc. (1994) | | | | | | | |
| | Br | Brochure, "ExoTran ^(sm) Solution", 3 pages, Exolink Corporation (1997) | | | | | | |
| | Brochure, "LODESTAR Profile and Settlement System TM : The New Standard for Open Access Settlement", 4 pages, Utility Marketing Services, Peabody, Massachusetts (date unknown) | | | | | ment", 4 | | |
| | Cohn, N., "Decomposition of Time Deviation and Inadvertent Interchange on Interconnected Systems, Part I: Identification, Separation and Measurement of Components", <i>IEEE Transactions on Power Apparatus and Systems</i> , PAS-101(5):1144 (May 1982) | | | | | | | |

23552 ATENT TRADEMARK OFFICE

EXAMINER DATE CONSIDERED

| Date Mailed: | March 📗 | 0, 2004 |
|--------------|---------|---------|
|--------------|---------|---------|

Sheet 1 of 1

| FORM 1449* INFORMATION DISCLOSURE STATEMENT | Docket Number: Application Number: 13671.0001-US-C2 10/695,922 | | |
|---|--|--|--|
| IN AN APPLICATION | Applicant: UGGERUD ET AL. | | |
| (Use several sheets if necessary) | Filing Date: October 28, Group Art Unit: 3629 2003 | | |

| | | τ | J.S. PATENT DOCUMEN' | TS | | | |
|---------------------|-------------------|------------------------------------|--|-------------------|---------------------|--------------|-------------------|
| EXAMINER INITIAL | DOCUMENT NO. | DATE | NAME | CLASS | SUBCLASS | | G DATE OPRIATE |
| | US-4,701,698 | 10-1987 | Karlsson et al. | | | | |
| | US-4,465,970 | 08-1984 | DiMassimo et al. | | | | |
| | US-4,442,492 | 04-1984 | Karlsson et al. | | | | |
| | US-4,023,043 | 05-1977 | Stevenson, Robert H. | | | | |
| | 4,847,781 | 07/11/1989 | Brown, III et al. | | | | . <u> </u> |
| | 5,479,358 | 12/26/1995 | Shimoda et al. | | | | |
| | 5,566,084 | 10/15/1996 | Cmar | | | | |
| | 6,047,274 | 02-1998 | Johnson et al. | | | | |
| | 6,157,874 | 10-1997 | Cooley et al. | | | | |
| | 3,998,267 | 5-1975 | Faiczak | | | | |
| | 6,122,603 | 06-1998 | Budike, Jr. | | | | |
| | | FOR | EIGN PATENT DOCUM | ENTS | | | |
| | DOCUMENT NO. | DATE | COUNTRY | CLASS | SUBCLASS | TRANS | LATION |
| | | | | | · | YES | NO |
| | | | | | | | |
| | OTHER | DOCUMENTS | (Including Author, Title, D | Date, Pertinent I | Pages, Etc.) | | |
| | Utilization | of Components | of Time Deviation and Inac of for Performance Evaluation AS-101(5):1152 (May 1982) | n and Correctiv | | | |
| | | | Energy Use Monitoring and (last updated May 2, 1997) | Management v | ia the World Wide | Web", 2 page | es, |
| | Internet, "(1997) | DG&E: Utility I | Deregulation Plans Spur Tec | hnology Trans | formation", 2 pages | , IBM Corpo | ration |
| | | Siemens: Deregi bruary 16, 1998 | ulation Products/Siemens PS | SC, USA", 3 pa | ges, Siemens Powe | r System Cor | itrol (last |

23552
PATENT TRADEMARK OFFICE

| EXAMINER | DATE CONSIDERED |
|----------|-----------------|
| | |

| Date Mailed: March 1 2004 | Sheet 1 of 1 |
|---------------------------|--------------|
|---------------------------|--------------|

| FORM 1449* INFORMATION DISCLOSURE STATEMENT | Docket Number: Application Number: 13671.0001-US-C2 10/695,922 | | |
|---|--|--|--|
| IN AN APPLICATION | Applicant: UGGERUD ET AL. | | |
| (Use several sheets if necessary) | Filing Date: October 28, Group Art Unit: 3629 | | |

| | | | U.S. PATENT DOCUMEN | NTS | | | |
|---------------------|--|---------------|---|-------------------|----------------------|---------------------------------------|-------------------|
| EXAMINER INITIAL | DOCUMENT NO. | DATE | NAME | CLASS | SUBCLASS | | G DATE OPRIATE |
| | 4,236,217 | 4-1979 | Kennedy | | | | |
| | 6,147,484 | 7-1998 | Smith | | | | |
| | 6,094,622 | 11-1998 | Hubbard et al. | | | | |
| | 5,933,092 | 3-1997 | Quellette et al. | | | | |
| | 5,897,607 | 2-1997 | Jenney et al. | | | | |
| | 6,112,159 | 6-1997 | Bond et al. | | | | |
| | US-6,088,659 | 07-2000 | Kelley et al. | | | | |
| | US-5,684,710 | 11-1997 | Ehlers et al. | | | | |
| | US-5,576,700 | 11-1996 | Davis et al. | | | | |
| | US-5,462,225 | 10-1995 | Massara et al. | | | <u> </u> | |
| | US-5,627,759 | 05-1997 | Bearden et al. | | | | |
| | | FO | REIGN PATENT DOCUM | IENTS | | | |
| | DOCUMENT NO. | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION | |
| | | | | | | YES | NO |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| ·· <u> </u> | OTHER | DOCUMENT | 'S (Including Author, Title, | Date, Pertinent F | Pages, Etc.) | | I |
| | Internet, " | ACES® Your l | SO Scheduling Solution", 2 | pages, (last upd | ated April 11, 1998 | 3) | |
| | | | Network Advantage: Produc | | | · · · · · · · · · · · · · · · · · · · | 7, 1998) |
| | Internet, " | The Road Ahea | ad: Cegelec ESCA's Strategy ec ESCA Corporation, Belle | and Outlook fo | r Deregulation in th | ne Electric Ut | |
| | Internet. " | Welcome to Ur | nified", Welcome to Unified | Information, Inc | c. (last updated Aug | oust 12 1998 |) |

23552 ATENT TRADEMARK OFFICE

| | The state of the s |
|----------|--|
| EXAMINER | DATE CONSIDERED |

| Date Mailed: March | Λ | |
|----------------------|----------------|--------------|
| Date Mailed: March 🔼 | L /2004 | Sheet 1 of 1 |

| FORM 1449* INFORMATION DISCLOSURE STATEMENT | Docket Number: 13671.0001-US-C2 | Application Number: 10/695,922 | |
|---|---------------------------------|--------------------------------|--|
| IN AN APPLICATION | Applicant: UGGERUD ET AL. | | |
| (Use several sheets if necessary) | Filing Date: October 28, 2003 | Group Art Unit: 3629 | |

| · | | U | .S. PATENT DOCUME | NTS | | · <u> · · · · · · · · · · · · · · · · ·</u> | |
|---------------------|-----------------------------|---|---|-------------------|----------------------|---|------------|
| EXAMINER INITIAL | DOCUMENT NO. | DATE | NAME | CLASS | SUBCLASS | FILING DATE IF APPROPRIATE | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| | | | | | | | |
| . "1." 1 | 2.24 | | | | | | |
| · | , | | | | | | |
| | | | | | | | |
| | | FOR | EIGN PATENT DOCUN | 1ENTS | <u> </u> | <u> </u> | |
| | DOCUMENT NO. | DATE | COUNTRY | CLASS | SUBCLASS | TRANSLATION | |
| | | | | | | YES | NO |
| | | | | | | | |
| | OTHER | DOCUMENTS | (Including Author, Title, | Date, Pertinent I | Pages, Etc.) | | |
| | Internet, "I Springs, C | Internet, "NSR: National Systems & Research Co.", 3 pages, National Systems & Research Co., Colorado Springs, Colorado (printed August 14, 1998) | | | | | |
| | Internet, "I 3 pages, (p | Internet, "Energy Scheduling and Accounting: Energy Management Application", Bailey Network Management, 3 pages, (printed August 18, 1998) | | | | | |
| | Internet, "I | Internet, "Energy Scheduling and Accounting", 2 pages, Bailey Norge AS (August 20, 1998) | | | | | |
| | Performan | ce," pgs. 1-11; " ocument," pgs. | l of NERC-National Electr Policy 3-Interchange," pgs NAD-1-INAD-6 (Decemb | s. P3-1-P3-9; and | l "Inadvertent Inter | change Accor | |
| | Press Relea Electric Co | Press Release, "Logica to Provide Services to New England Electric System (NEES) Companies to Enable Retail Electric Competition", 2 pages, Logica Inc., (date unknown) | | | | | |
| | Prowse, D. | Prowse, D. et al., "Experience with Joint AGC Regulation", IEEE, 1 page (1994) | | | | | |
| | Rutz, W., ' (March 5, | | Coordinator: The Power of | Retail Choice", | Energy Market IT | Bulletin, No. | 5, 4 pages |

23552
PATENT TRADEMARK OFFICE

| EXAMINER | DATE CONSIDERED |
|----------|-----------------|

MAR 1 9 2004 App

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applifcant:

UGGERUD ET AL.

Examiner:

UNKNOWN

Serial No.:

10/695,922

Group Art Unit:

3629

Pi lica.

October 28, 2003

Docket:

13671.0001-US-C2

Confirmation

7017

Notice of Allow.
Date:

UNKNOWN

No.:

March 28, 2004

Title:

Due Date:

ENERGY COORDINATION SYSTEM

CERTIFICATE UNDER 37 CFR 1.8:

I hereby certify that this correspondence is being deposited with the United States Postal Service as first elass mail, with sufficient postage, in an envelope addressed to: , Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on March 6, 2004.

Name: John C. Reich

Commissioner for Patents P.O. Box 1450 Alexandria, VA 22313-1450 23552
PATENT TRADEMARK OFFICE

Sir:

We are transmitting herewith the attached:

Transmittal Sheet in duplicate containing Certificate of Mailing

☐ Information Disclosure Statement, Form 1449, 0 Reference(s)

Other: Copy of International Search Reported

Return postcard

Please consider this a PETITION FOR EXTENSION OF TIME for a sufficient number of months to enter these papers or any future reply, if appropriate. Please charge any additional fees or credit overpartment to be posit Account No. 13-2725. A duplicate of this sheet is enclosed.

MERCHANT & GOULD P.C. P.O. Box 2903, Minneapolis, MN 55402-0903 612.332.5300

Name: John C. Reich Reg. No.: 37,703

JCR:mma